

DOCKET NO. NG(MS)7178NP

2132
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: Kenneth W. Aull
Serial No.: 09/690,544
Filed: 16 October 2000
For: *System and Method for Usage of a Role Certificate in Encryption and as a Seal, Digital Stamp, and Signature*
Art Unit: 2132
Examiner: V. Perongavoor

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed foreign patent document and other publication is enclosed. No U.S. Patents nor any published U.S. Patent Applications are enclosed.

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) _____ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) _____ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) _____ Within 3 months of the filing date or date of entry into the National Stage.
- (b) _____ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 20-0090 for consideration of this Statement.

(c) ☒ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) ☒ The required certification is given below, or

(2) _____ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3) _____ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 20-0090.

(d) _____ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) _____ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

(2) _____ Charge the fee set forth in 37 C.F.R. 1.17(i)(1) to Deposit Account No. 20-0090.

4. Certification (if applicable)

(a) ☒ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) _____ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 20-0090.

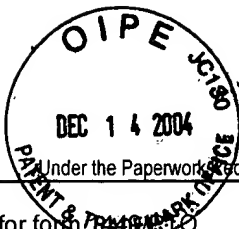
Respectfully Submitted,

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Substitute for form PTO/SB/08A INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known	
			Application Number	09/690,544
			Filing Date	16 October 2000
			First Named Inventor	Kenneth W. Aull
			Art Unit	2132
Sheet	1	of	Examiner Name	V. Perongavoor
			Attorney Docket Number	NG(MS)7178NP

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Document Number Number-Kind Code ² (^{III} Known)	Publication Date MM-DD-YYYY	Name Of Patentee Or Applicant Of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear
		US-5,659,616	08-19-1997	Sudia	
		US-6,035,402	03-07-2000	Vaeth, et al.	
		US-6,073,242	06-06-2000	Hardy, et al.	
		US-			
		US-			
		US-			
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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		European Search Report for EP 01112854.3-1237; Search completed 4 November 2004 by Examiner C. Djuardin	
		JING-JANG HWANG, ET AL.: "Access Control with Role Attribute Certificates"; Computer Standards & Interfaces, Elsevier Sequoia. Lausanne, CH, vol. 22, no. 1, March 2000 (2000-03), pages 43-53, XP004199339 ISSN: 0920-5489 *abstract* *page 43, left-hand column, line 1-page52, right-hand column, line 4; figures 2-4; table 4*	
		NEUMAN B C ED - "Proxy-based Authorization and Accounting for Distributed Systems"; Institute of Electrical and Electronics Engineers; Proceedings of the International Conference on Distributed Computing Systems. Pittsburgh, May 25-28, 1993, Los Alamitos, IEEE Comp. Soc. Press, US vol. CONF. 13, 25 May 1993 (1993-05-25), pages 283-291, XP010095707 ISBN: 0-8186-3770-6 *page 283, left-hand column, line 18-page 286, left-hand column, line 24; figures 1,3* *page 289, left-hand column, line1-line 32; Figure 6* *page 290, left-hand column, line 9-right-hand column, last line*	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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